

AO 120 (Rev. 08/10)

<b>TO:</b> Mail Stop 8 <b>Director of the U.S. Patent and Trademark Office</b> <b>P.O. Box 1450</b> <b>Alexandria, VA 22313-1450</b>	<b>REPORT ON THE</b> <b>FILING OR DETERMINATION OF AN</b> <b>ACTION REGARDING A PATENT OR</b> <b>TRADEMARK</b>
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In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court CENTRAL DISTRICT on the following

☒ Trademarks or ☐ Patents. ( ☐ the patent action involves 35 U.S.C. § 292.);

DOCKET NO. <b>CV 13-02384</b>	DATE FILED	U.S. DISTRICT COURT CENTRAL DISTRICT
PLAINTIFF PRINCIPAL FINANCIAL SERVICES, INC.		DEFENDANT PRINCIPAL TAX GROUP, INC., a Delaware Corporation
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 PLEASE SEE ATTACHED		
2		
3		
4		
5		

Not Page

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY	<input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
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In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT
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CLERK	(BY) DEPUTY CLERK	DATE
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Copy 1—Upon initiation of action, mail this copy to Director    Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director    Copy 4—Case file copy



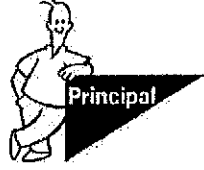
AO-120

FILED



 2013 APR -3 PM 2:49  
 CLERK U.S. DISTRICT COURT  
 -CENTRAL DIST. OF CALIF.  
 LOS ANGELES  
 BY *[Signature]*

**ATTACHMENT TO REPORT ON THE FILING OR  
DETERMINATION OF AN ACTION REGARDING A PATENT OR  
TRADEMARK (FORM # AO 120)**

Mark	Reg. No.	Reg. Date	Services
THE PRINCIPAL EDGE	1,469,375 Incontestable	12/15/87	Life, health, accident and casualty insurance underwriting services, investment management services, administering annuities, mutual funds, pensions and income programs for others and register investment advisory services
THE PRINCIPAL FINANCIAL GROUP	1,502,424 Incontestable	08/30/88	Consulting and contract management services to preferred provider organizations; arranging for prepaid medical care for others; health care services rendered through preferred provider organizations
	1,504,246 Incontestable	09/13/88	Consulting and contract management services to preferred provider organizations; arranging for prepaid medical care for others; health care services rendered through preferred provider organizations
	1,508,542 Incontestable	10/11/88	Life, health insurance and reinsurance underwriting and brokerage services; underwriting, administering and managing annuities and pension funds for others; variable life insurance and variable annuities funded through a variety of funding media
THE PRINCIPAL FINANCIAL GROUP (Stylized)	1,508,543 Incontestable	10/11/88	Life, health insurance and reinsurance underwriting and brokerage services; underwriting, administering and managing annuities and pension funds for others; variable life insurance and variable annuities funded through a variety of funding media
THE PRINCIPAL (Stylized)	1,508,544 Incontestable	10/11/88	Life, health insurance and reinsurance underwriting and brokerage services; underwriting, administering and managing annuities and pension funds for others; variable life insurance and variable annuities funded through a variety of funding media
	1,530,022 Incontestable	03/14/89	Life, health insurance underwriting services, investment management services, administering annuities, mutual funds, pensions and income programs for others, registered investment advisory services and broker-dealer securities services
	1,530,023 Incontestable	03/14/89	Life, health insurance underwriting services, investment management services, administering annuities, mutual funds, pensions and income programs for others, registered investment advisory services and broker-dealer securities services
	1,531,199 Incontestable	03/21/89	Life, health insurance underwriting services, investment management services, administering annuities, mutual funds, pensions and income programs for others, registered investment advisory services and broker-dealer securities services

Mark	Reg. No.	Reg. Date	Services
THE PRINCIPAL PLAN	1,561,335 Incontestable	10/17/89	Arranging for pre-paid medical care for others
PRINCIPAL	1,562,541 Incontestable	10/24/89	Financial analysis and consulting, management of securities and securities brokerage services
	1,698,013 Incontestable	06/30/92	Real estate leasing and management services
THE PRINCIPAL FINANCIAL GROUP	1,740,172 Incontestable	12/15/92	Commercial and residential real estate service namely, brokerage, investment, management, mortgage loan, and valuation services
THE PRINCIPAL	1,740,181 Incontestable	12/15/92	Commercial and residential real estate services; namely, brokerage, investment, management, mortgage loan, and valuation services
PRINCIPAL BANK	2,843,297 Incontestable	05/18/04	Retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
PRINCIPAL GLOBAL INVESTORS	3,053,544 Incontestable	01/31/06	Financial services, namely, portfolio management, financial market analysis, asset management, mortgage lending, real estate and securities investment management and investment management advisory services
	3,095,382 Incontestable	05/23/06	Retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
PRINCIPAL FREEDOM	3,107,136 Incontestable	06/20/06	Financial services, namely, variable annuities
PRINCIPAL ADVANTAGE	3,174,382 Incontestable	11/21/06	Life, health, accident and casualty insurance underwriting and brokerage services, investment management services, underwriting, administering and managing annuities, mutual funds, pensions and income programs for others, registered investment advisory services and management of securities and securities brokerage services
	3,297,647 Incontestable	09/25/07	Annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing

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			investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans, cafeteria plans and other employee benefit plans; insurance underwriting and brokerage services for groups and individuals in the fields of life, disability and dental; real estate mortgage lending and mortgage asset procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing; and retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
PRINCIPAL	3,324,583 Incontestable	10/30/07	Annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans, cafeteria plans and other employee benefit plans; insurance underwriting and brokerage services for groups and individuals in the fields of life, disability and dental; real estate mortgage lending and mortgage asset

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			procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing; and retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
<b>Principal Funds</b>	3,368,180	01/15/08	Financial services, namely, mutual fund investment services
PRINCIPAL FUNDS	3,368,181	01/15/08	Financial services, namely, mutual fund investment services
THE PRINCIPAL CHARITY CLASSIC	3,369,005	1/15/08	Golf umbrellas; plastic water bottles sold empty; jackets; hats; t-shirts; golf shirts; golf balls; entertainment in the nature of golf tournaments
<b>Principal Global Investors</b>	3,400,594	03/25/08	Financial services, namely, portfolio management, financial market analysis, asset management, mortgage lending, real estate and securities investment management and investment management advisory services
	3,456,731	07/01/08	Golf umbrellas; plastic water bottles sold empty; jackets; hats; t-shirts; golf shirts; golf balls; entertainment in the nature of golf tournaments
<b>Principal Financial Group</b>	3,461,024	07/08/08	Financial sponsorship of automobile racing teams; financial sponsorship of sporting and entertainment venues; entertainment in the nature of family-oriented festivals
	3,461,025	07/08/08	Shirts; annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment

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			advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, health, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans and cafeteria plans; insurance underwriting and brokerage services for groups and individuals in the fields of life, health, disability and dental; mortgage banking services; mortgage brokerage services; real estate mortgage lending and mortgage asset procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing, and retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
<b>Principal</b> <i>Wellness Company</i>	3,961,137	5/17/11	Managed health care services, namely, preventive medical screenings, and wellness programs; providing health care information in the field of health and wellness
PRINCIPAL REAL ESTATE INVESTORS	4,111,149	3/13/2012	Real estate investment services; real estate management services
<b>Principal</b> <i>Real Estate Investors</i>	4,130,738	4/24/2012	Real estate investment services; real estate management services
PRINCIPAL FINANCIAL GROUP	(pending app) 85811463	12/27/2012	Annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment

Mark	Reg. No.	Reg. Date	Services
			advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans, cafeteria plans and other employee benefit plans; insurance underwriting and brokerage services for groups and individuals in the fields of life, disability and dental; real estate mortgage lending and mortgage asset procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing; and retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
<b>Principal</b> <b>Financial</b> <b>Group</b>	(pending app) 85811461	n/a	Annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans, cafeteria plans and other employee benefit plans;

Mark	Reg. No.	Reg. Date	Services
			insurance underwriting and brokerage services for groups and individuals in the fields of life, disability and dental; real estate mortgage lending and mortgage asset procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing; and retail commercial banking services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
PRINCIPAL LIFE INSURANCE COMPANY	(pending app) 85811459	n/a	Annuities underwriting and investment, management of, distribution and administration services, namely, providing administrative services for fixed and variable annuities; funds investment; trust and custodial services for retirement plans, namely, investment of funds for others in the field of mutual funds and individual retirement accounts; administration of employee pension plans; financial services in the nature of an investment security; investment management services; mutual fund investment, distribution and brokerage; administration of employer provided and individual pension and fixed investment income programs; registered investment advisory services and broker-dealer securities services, namely, brokering and trading in securities and providing investment advisory services; banking services; consumer loan financing; pension plan consulting; estate planning; financial planning; administration services of insurance in the fields of life, disability, dental, prescription drug, vision and accidental death and dismemberment; administration of employee benefit plans, namely, deferred compensation benefit plans, profit sharing plans, cafeteria plans and other employee benefit plans; insurance underwriting and brokerage services for groups and individuals in the fields of life, disability and dental; real estate mortgage lending and mortgage asset procurement for others; maintaining real estate mortgage escrow accounts; real estate investment services; real estate management; leasing of commercial real estate; financial investment in the field of real estate development; providing administration services to employee welfare benefit plans and pre-paid dental plans and claims administration, namely, claims processing; and retail commercial banking



Mark	Reg. No.	Reg. Date	Services
			services, namely, checking, savings, money market, credit cards, certificates of deposit, mortgage loans, commercial real estate lending, and corporate banking services
PRINCIPAL GLOBAL EQUITIES	(pending app) 85/849,830	n/a	Financial services, namely portfolio management, financial market analysis, asset management, and investment management advisory services
<b>Principal</b> <i>Global Equities</i>	(pending app) 85/849,834	n/a	Financial services, namely portfolio management, financial market analysis, asset management, and investment management advisory services
PRINCIPAL GLOBAL FIXED INCOME	(pending app) 85/849,986	n/a	Financial services, namely portfolio management, financial market analysis, asset management, and investment management advisory services
<b>Principal</b> <i>Global Fixed Income</i>	(pending app) 85/849,980	n/a	Financial services, namely portfolio management, financial market analysis, asset management, and investment management advisory services